



National Aeronautics and Space Administration

**NASA Headquarters, Office of Education
Informal Education Division**

NASA Explorer Institute Focus Groups

FY 2004 NASA Cooperative Agreement Notice (CAN) *(Initial Announcement)*

(CAN NNH04ZNI001C)

Catalog of Federal Domestic Assistance (CFDA) Number: 00.000

Release Date:	September 17, 2004
Notices of Intent Due:	October 15, 2004
Proposals Due:	November 12, 2004
Selection Announcement:	December 1, 2004

NASA ANNOUNCEMENT NNH-04ZNI001C
NASA Explorer Institutes Focus Groups
EXECUTIVE SUMMARY

NASA Explorer Institutes, a new national level program, is intended to provide, "...as only NASA can," engaging experiences, opportunities, materials, and information to members of the informal education community including, but not limited to, representatives of science centers, museums, planetariums, libraries, parks, aquaria, nature centers, botanical gardens, youth groups, and community-based organizations.

This Cooperative Agreement Notice (CAN) is a solicitation by the NASA Headquarters Office of the Chief Education Officer's Informal Education Division, to provide a funding opportunity to members of the informal education community to host NASA Explorer Institutes Focus Groups.

The purpose of the Focus Groups will be to assemble experts from the informal education community to further identify strategies and approaches that can be used to effectively implement the NASA Explorer Institutes (NEI) Program's goal and objectives to enhance the capabilities of the informal education community to inspire the next generation of explorers through access to NASA staff, research, technology, information, and/or facilities.

The overall Goal of NEI is to encourage and support projects that will:

- Improve the public's understanding and appreciation of science, technology, engineering, and mathematics (STEM) disciplines to enhance their scientific and technological literacy, mathematical competence, problem-solving skills, and the desire to learn;
- Establish linkages that promote new relationships between providers of informal and formal education resulting in improved and creative STEM education in all learning environments;
- Excite youth, particularly those who are underrepresented and underserved, about STEM disciplines;
- Expand STEM informal education programs and activities to communities/locations that have been traditionally underserved by such opportunities;
- Stimulate parents and others to support their children's learning endeavors in formal and informal settings and to become informed proponents for high-quality, universally available STEM education in the home and elsewhere;
- Encourage and implement innovative strategies that support the development of a socially responsible and informed public who can make responsible decisions about STEM policy issues affecting their everyday lives.

The objectives of NEI Program are designed to:

- Engage the informal education community in discussions about how to involve the public in shaping and experiencing NASA-related missions;
- Identify NASA-related instructional content, resources, and information, in collaboration with the informal education community, that will enhance informal education program goals and objectives;
- Provide NASA-related professional development opportunities for members of the informal education community across the nation; and

- Facilitate the formation of collaborative partnerships between informal and formal education communities.

The NASA Office of the Chief Education Officer, Informal Education Division, anticipates funding up to ten (10) Focus Groups that will be hosted by and for members of the Informal Education Community at a maximum funding level of \$50K per project.

Proposals must be received by 4:30 PM Eastern Time, November 12, 2004. The Point of contact for Technical questions regarding this Cooperative Agreement is:

Debbie Gallaway, Program Manager
NASA Explorer Institutes
Informal Education Division
Office of the Chief Education Officer
NASA Headquarters
Washington, DC 20456
Telephone: 202-358-1516
FAX 202-358-3032
E-mail: debbie.gallaway@hq.nasa.gov

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I. NASA EDUCATION OVERVIEW

(a) NASA Vision

To improve life here,
To extend life to there,
To find life beyond.

(b) NASA Mission

To understand and protect our home planet,
To explore the universe and search for life,
To inspire the next generation of explorers
...as only NASA can.

(c) NASA Education Enterprise Strategy

The NASA Office of the Chief Education Officer provides students and educators with unique teaching and learning experiences “...as only NASA can.” With guidance from NASA, industry and university engineers and scientists, students and educators will study the Earth, explore the universe and planets using current data, and conduct scientific experiments using the latest aerospace and space-based research methods. Amongst its objectives, the Office of the Chief Education Officer strives to:

- Increase elementary and secondary student and teacher participation
- Enhance higher education science, technology, engineering and mathematics (STEM) capability
- Increase underrepresented and underserved participation
- Expand e-education, and
- Expand informal education participation.

Through these objectives, the Education Enterprise will inspire and motivate students, and engage the public “...as only NASA can.”

(d) Definition of Informal Science Education

Informal Science Education (ISE) provides stimulating experiences for STEM learning outside of formal classroom environments through media, exhibits, and community-based programming. NASA Explorer Institutes pilot projects will target members of the informal education community that may include:

- Directors and CEOs of informal education institutions or organizations
- Youth Group Leaders
- Education Directors
- Workshop or Activity Leaders
- Curriculum Developers
- Docent Managers

- Exhibit Designers
- Library Professionals
- Community Education Leaders

NASA Explorer Institutes pilot projects will be leveraged or conducted in partnership with members of organizations that may include:

- Educational Institutions/Organizations (formal and/or informal)
- Professional Organizations/Societies/Associations
- Community-based organizations
- Out-of-School-Time Organizations
- Consortia of museums, science centers, and other informal institutions
- Individual museums, science centers, libraries, and other informal institutions
- Government agencies
- Business and Industry
- Charitable Foundations
- Multimedia Developers

(e) Scope of NASA Explorer Institutes

The NASA Explorer Institutes (NEI) Program is a national level program promoting collaboration with NASA to develop engaging experiences, opportunities, materials, and information to the informal education community including, but not limited to, science centers, museums, planetariums, libraries, parks, aquaria, nature centers, botanical gardens, youth groups, and community-based organizations.

(i) NASA Explorer Institutes Goal

The goal of the NEI Program is to encourage and support projects that:

- Improve the public's understanding and appreciation of STEM disciplines to enhance their scientific and technological literacy, mathematical competence, problem-solving skills, and the desire to learn;
- Establish linkages that promote new relationships between providers of informal and formal education resulting in improved and creative STEM education in all learning environments;
- Excite youth, particularly those who are underrepresented and underserved, about STEM disciplines;
- Expand STEM informal education programs and activities to communities/locations that have been traditionally underserved by such opportunities;
- Stimulate parents and others to support their children's learning endeavors in formal and informal settings and to become informed proponents for high-quality, universally available STEM education in the home and elsewhere;
- Encourage and implement innovative strategies that support the development of a socially responsible and informed public who can make responsible decisions about STEM policy issues affecting their everyday lives.

(ii) NASA Explorer Institutes Objectives

NEI will enhance the capabilities of the informal education community to inspire the next generation of explorers by providing access to NASA staff, research, technology, information, and/or facilities and by:

- Engaging the informal education community in discussions about how to involve the public in shaping and experiencing NASA-related missions;
- Identifying NASA-related instructional content, resources, and information, in collaboration with the informal education community, that will enhance informal education program goals and objectives;
- Providing NASA-related professional development opportunities for members of the informal education community across the nation;
- Facilitating the formation of collaborative partnerships between informal and formal education communities.

(a) NASA Explorer Institutes Professional Development Workshops

An earlier solicitation was open to NASA Field Centers, JPL, and NASA Mission Directorates to conduct *Professional Development Pilot Workshops* for members of the informal education community at one or more NASA facilities. Collaboration among these internal organizations was highly encouraged. Part of the workshop(s) will take place at non-NASA locations in partnership with members of the informal education community.

Key features include:

- Visits to sites or facilities that highlight NASA's unique mission;
- Exposure to innovative technological advances and scientific discoveries;
- Exposure to diverse resources that may be utilized in informal education settings;
- Networking with peers from the informal education community;
- Increased access to NASA expertise for staff at museums, science centers, planetariums, as well as other informal education professionals by providing direct access to scientists, engineers, and technologists who conduct NASA's mission and research;
- Development of an action plan by workshop participants outlining how they will translate what they have seen and done in the workshop into a meaningful experience for the public at their home institutions or within their organizations;
- Development of a plan for professional development opportunities, collaborations, and/or activities for workshop participants that can be sustained after the workshop is over;
- Development of a workshop follow-up report to NASA's Informal Education Division that outlines effective strategies and approaches for future NEI Professional Development Workshops.

(b) NASA Explorer Institutes Focus Group(s)

The focus of this CAN is to assemble experts from the informal education community to participate in regional NEI *Focus Group(s)*.

Key features include helping NASA respond to the needs of the informal education community by:

- Identifying the needs of the informal education community participants;
- Identifying relevant NASA assets;
- Discussing mechanisms that could be used to engage the informal education community with NASA science and technology staff and resources;
- Exploring options to cooperatively develop instructional materials derived from NASA research and scientific activities that meet the needs of NASA's informal partners;
- Broadening the diversity of organizations with common education goals that may partner with NASA in the future.
- Identifying potential professional development opportunities that could be made available to the informal education community at NASA facilities;
- Identifying evaluation strategies and mechanisms to measure the effectiveness of the NEI program; and
- Providing a follow-up report to NASA's Informal Education Division that captures the recommendations of the NEI *Focus Group(s)* participants and outlines effective strategies and approaches that will enhance the NEI program.

(f) NASA Safety Policy

Safety is the freedom from those conditions that can cause death, injury, occupational illness, damage to or loss of equipment or property, or damage to the environment. NASA's safety priority is to protect: (1) the public, (2) astronauts and pilots, (3) the NASA workforce (including employees working under NASA award instruments), and (4) high-value equipment and property.

II. AWARD INFORMATION

(a) Award Type

This solicitation is a Cooperative Agreement Notice (CAN) and NASA anticipates awarding up to ten (10) NEI Pilot *Focus Group(s)* at a maximum funding level of \$50K per project.

(b) Period of Performance

NASA anticipates awarding the cooperative agreements from this solicitation in on or about **December 1, 2004**. All NEI Focus Group pilot projects must be completed by **February 25, 2005** and all final reports are due to NASA's Informal Education Division by COB **March 4, 2005**. A NASA Explorer

Institutes Planning and Evaluation meeting will be held in New York City on **March 16-18, 2005**. Each funded project must identify at least one representative who was involved in the development and implementation of their institute to participate in the meeting.

(c) **Cancellation of CAN**

NASA reserves the right to make no awards under this CAN and, in the absence of program funding or for any other reason. NASA assumes no liability (including bid and proposal costs in case of cancellation) for canceling the CAN or for anyone's failure to receive actual notice of cancellation. Should cancellation be necessary, notice will be published in the Commerce Business Daily and at FedGrants.gov.

(d) **Schedule for Awards**

Release Date:	September 17, 2004
Notice of Intent Due:	October 15, 2004
Proposals Due:	November 12, 2004
Selection Announcement:	Late November, early December

III. ELIGIBILITY INFORMATION

(a) **Eligible Applicants**

This solicitation is open to members of the informal education community (see *I. (d) above*) to conduct regional NEI Pilot *Focus Group(s)*. NASA's participation in each NEI Pilot *Focus Group(s)* will be critical to assist in the identification of NASA assets and relevant content. A NASA representative(s) will be identified to participate in each *Focus Group* selected for funding by the NEI Program Manager in collaboration with the NASA Mission Directorate Education Leads and/or the Field Center Informal Education POCs if a NASA representative(s) is not identified in the proposal.

(b) **Cost Sharing or Matching**

If an institution of higher education, or other non-profit organization wants to receive a cooperative agreement, cost sharing is not required; however, NASA can accept cost sharing if it is voluntarily offered. If a commercial organization wants to receive a cooperative agreement, cost sharing is required, unless the commercial organization can demonstrate that they will not receive substantial compensating benefits for the partnership effort. If no substantial compensating benefits will be received, then cost sharing is not required, but can be accepted.

IV. APPLICATION AND SUBMISSION INFORMATION

(a) **Address to Request Proposal Package**

All information needed to apply to this solicitation is contained in this announcement. The *NASA Guidebook for Proposers Responding to a NASA*

Research Announcements – 2004 (NASA Guidebook for Proposers), located on the at URL <http://www.hq.nasa.gov/office/procurement/nraguidebook>, is a very useful reference that relates to many aspects of this CAN. Note that both the introductory material and appendices of this *NASA Guidebook for Proposers* provides additional information about the entire NRA/NEA/CAN process, including NASA policies for the solicitation of proposals, guidelines for writing complete and effective proposals, and NASA's general policies and procedures for the review and selection of proposals, as well as for issuing and managing the awards to the institutions that submitted selected proposals. A group of *Frequently Asked Questions* (FAQs) provides additional miscellaneous information about a variety of the NASA proposal and award processes and procedures.

Solicitation Availability:

Go to <http://research.hq.nasa.gov>
Click on Office of the Chief Education Officer

(b) Proposal Submission Dates, Times and Locations

Methods of Proposal Delivery

There are three suggested methods of delivery to NASA Headquarters:

U.S. Postal Service Express Mail
Commercial Delivery Service
Delivery by company employee or other individual agent

Regardless of the method of delivery chosen, the offeror is responsible for delivery of the proposal to NASA Headquarters no later than the date and time stated on the face page of the solicitation (**November 12, 2004**).

Proposal Closing Time and Date: 4:30 p.m. November 12, 2004

Proposal Submittal Addresses:

Items mailed through the U.S. Postal Service (including registered or certified) should be addressed to:

NASA Headquarters
Attn: Debbie Gallaway, Room 2R71
NASA Explorer Institutes Program Office
Washington, DC 20546-0001

Items delivered by express mail, commercial delivery, or courier should be delivered to:

NASA Headquarters
Attn: Debbie Gallaway, Room 2R71
Office of Education
Attn: Receiving & Inspection (Rear of Building)

**NASA Headquarters
300 E Street, SW
Washington, DC 20024-3210**

It is requested that programmatic questions regarding this solicitation be submitted in writing or via email by **9:00 a.m. Friday October 15, 2004.**

Address:
NASA Headquarters
Attn: Debbie Gallaway
Manager, NASA Explorer Institutes Program
300 E. Street, SW, Room 2R71
Washington DC 20546-0001
debbie.gallaway@hq.nasa.gov

Responses to questions will be provided to all offerors who submit a Notice of Intent and via amendments to the electronically posted CAN.

(c) Content and Form of Proposal Submission

Proposers are instructed to submit one original proposal with both the Principal Investigator and the Authorizing Official signatures for the entity proposing. An Authorizing Official is considered to be an official that can obligate resources for that entity. It is through the Authorizing Official that the award will be made. The proposer should submit 10 copies of the original proposal. The copies of the proposal should be double sided and bound with a binder clip or staple. An electronic copy should also be submitted with the hard copy proposals. It is preferred that the electronic copy must be submitted on a CD ROM or on a 100MB Zip disk. The file or files should be in MS Word (.doc), MS Excel (.xls), or Adobe Acrobat (.pdf) format. Answers to any questions and any amendments to the solicitation will be posted at the NASA Explorer Institute website located at:

<http://www.nasa.gov/audience/foreducators/informal/features/index.html>

(i) NASA Proposal Data System

This CAN requires that the proposer register key data concerning their intended submission with NASA's master proposal data base system located at the Web site <http://research.hq.nasa.gov>. Therefore, potential applicants are urged to access this site well in advance of the proposal due date(s) of interest (see further below) and familiarize themselves with its structure. It is especially important to note that every individual named on the proposal's *Cover Page* (see further below) must be registered in this NASA proposal data system and that such individuals must perform this registration themselves, i.e., no one may register a second party, even the Principal Investigator of a proposal in which that person is committed to participate. Note that the data entered into this data site are strictly for NASA's use only.

Requests for assistance in accessing and/or using this Web site may be directed by E-mail to proposals@hq.nasa.gov, Monday through Friday, 8:00 AM – 6:00 PM Eastern Time, or by telephone to (202) 479-9376. Frequently Asked Questions (FAQs) may be accessed through the Proposal Online Help site at <http://proposals.hq.nasa.gov/help.html>.

(ii) Notice of Intent to Propose

In order to plan for a timely and efficient peer review process, a Notice of Intent to Propose (NOI) is strongly encouraged to be submitted October 15, 2004. Appendix A provides directions for submission of a Notice of Intent to Propose.

The NOI will greatly expedite the review process and thus minimize the time required to announce the selections. What follows is a description of the information requested by the Notice of Intent to Propose.

An NOI is submitted by logging into the NASA Headquarter's proposal database at <http://proposals.hq.nasa.gov> and then selecting either "All" or the CAN's sponsor (Code N) in the menu entitled "Division Specific Opportunities," which will then open a menu of those solicitations for which the NOI deadlines have not passed. Each individual NOI web page will include its unique alpha-numeric identifier and the mailing address information for the applicant based on the information in NASA's data system. Space is provided for the applicant to provide, at a minimum, the following information, although additional special requests may also be indicated:

- A Short Title of the anticipated proposal (50 characters or less);
- A Full Title of the anticipated proposal (any length but of a nature that is understandable by an informal education peer);
- A brief description of the *Focus Group(s)* and its objective(s); and
- The names of any Principle Investigators and/or Collaborators as may be known by the time the NOI is submitted.

After completing the indicated fields, the NOI is then electronically submitted (Note: a copy may be printed for reference).

A separate NOI must be submitted for each intended proposal. Note that this NOI may also be the preliminary version of the proposal *Cover Page/Proposal Summary*; if so, the Web site provides the user future access to update this information for the final *Cover Page/Proposal Summary* as the deadline for submission of the final proposal approaches.

(iii) Proposal Cover Page

All proposals submitted in response to this CAN must be prefaced with the Proposal Cover Page form that can be accessed at <http://research.hq.nasa.gov> (reference sample form in Appendix C). Note that after accessing this Web site and logging in, the user is presented with a menu entitled "Division Specific Opportunities" that requires knowledge of the NASA Headquarters Program Office that sponsors the CAN of interest. After selecting the appropriate Division

(or “All” for access to all open solicitations) another menu will appear that lists all of the research solicitations for which Cover Pages may be generated (i.e., those solicitations whose proposal due dates have not passed). Any proposer who experiences difficulty in using the specified Web site or who cannot access the Web may request assistance by E-mail to proposals@hq.nasa.gov.

After this item is submitted electronically, it is then printed in hard copy in order to obtain the authorizing original signatures of the PI and the Organizational Official. This signed copy must be submitted with the original copy of the proposal on or before the proposal due date. In addition, reproductions of the signed Proposal Cover Page are used to preface the required printed copies of the proposal. (Note that this data system automatically assigns a unique proposal identifier code to each entry, e.g., “LWSGD02-0004-0003,” that will appear in a double-framed box in the upper right corner of printed Proposal Cover Page; this number is used by NASA throughout the proposal review and selection process to uniquely identify the proposal and its associated electronic data.)

TWO proposal cover pages are required as part of the proposal. The first is a hard copy (see below for instructions on how to acquire the proposal hard copy from the online system) that must be signed by the PI and an authorized official by title of the organization who is authorized to commit the organization. This authorizing signature also certifies that the proposing organization has read and is in compliance with the required certifications printed in full. This page will count as one page toward the proposal total regardless of actual length. This page will serve as the cover for your proposal. Please attach copies of this to all submitted copies.

The second proposal cover page must be submitted **electronically** to the SYS-EYFUS Web site located at <http://proposals.hq.nasa.gov>. If the respondent has submitted an electronic Notice of Intent (Appendix A) to SYS-EYFUS, the same user UserID and password can be used to complete the electronic proposal cover page. If the respondent obtained a UserID and password in the process of submitting a proposal for a previous research opportunity announcement, the same user UserID and password can be used to complete the electronic proposal cover page in response to this research opportunity announcement. Be sure to click on “Edit Personal Information” if any of your correspondence information in SYS-EYFUS is not current.

SYS-EYFUS automatically assigns a unique proposal identifier code to each entry, e.g., “LWSGD02-0004-0003,” that will appear in a double-framed box in the upper right corner of printed Proposal Cover Page; this number is used by NASA throughout the proposal review and selection process to uniquely identify the proposal and its associated electronic data.

If you do not have a SYS-EYFUS UserID or password or you have forgotten your UserID or Password, you may obtain one electronically by going to <http://proposals.hq.nasa.gov> and performing the following steps:

- Click the hyperlink for **new user**, which will take you to the Personal Information Search Page.
- Enter your first and last name. SYS-EYFUS will **search** for your record information in the SYS-EYFUS database.

- Confirm your personal information by **choosing** the record displayed or begin the registration process. The system will guide you through the steps to obtain your UserID and password.
- Select **continue**, and a User ID and password will be e-mailed to you.
- Once you receive your User ID and Password, **login** to the SYS-EYFUS Web site and follow the instructions for **New Notice of Intent**. To submit a **Proposal Cover Page**, sign back into the system using your UserID and password and choose **New Proposal Cover Page**. Select the **Notice of Intent previously submitted** and the system will ask for additional information to complete the cover page.
- To print the Proposal Cover Page, follow the instructions provided after all proposal information has been submitted.

Respondents without access to the Web or who experience difficulty in using this site may contact the Help Desk at proposals@hq.nasa.gov (or call 202.479.9376) for assistance. After you have submitted your NOI or proposal cover page electronically, if you are unsure if it has been successfully submitted, do not re-submit. Please call the Help Desk. They will be able to promptly tell you if your submission has been received. Please note that submission of the electronic cover page does **not** satisfy the deadline for proposal submission.

The following information will be requested to complete the Proposal Cover Page. Note that all of this information is needed in order for NASA to complete a financial award with the proposing organization should the proposal be selected for funding; therefore, it is extremely important that it be provided accurately and completely.

- **PI Information.** Provide the name and full mailing address of the Principal Investigator, including his/her specific Division or Mail Stop as appropriate, and e-mail address, telephone number, and facsimile (Fax) number (Note: once the PI enters his/her name, this information will be provided automatically from the data base using the information previously submitted when registering as a user in this system). The printed version of this form includes a space for the PI's signature.
- **Authorizing Official.** Provide the name and title of the Authorizing Official of the proposing organization, and the full mailing address.
- **Proposal Title:** Provide both a Short Title (limit of 50 characters), as well as a Full Title of the proposed *Focus Group(s)*, which may be of any length or the same as the Short Title so long as it is intelligible to an informal education peer and suitable for use in the public press.
- **Taxpayer Identification Number (TIN).** Every U.S. organization (or Unaffiliated Individual) that submits a proposal to a U.S. agency must provide their permanently-assigned TIN in compliance with 31 U.S. Code 7702(c)(1).
- **Dun & Bradstreet (D&B), Data Universal Numbering System (DUNS).** Every organization (or Unaffiliated Individual) that submits a proposal to a U.S. agency must obtain a permanently assigned DUNS number from D&B. NASA requires that this DUNS number be submitted with the proposal cover page. Potential applicants may call D&B at 1-866-705-5711 to register and obtain a DUNS number. The process to request a DUNS number takes about 10 minutes

and is free of charge. Potential applicants may also register for their DUNS number at D&B Website: <https://eupdate.dnb.com/requestoptions.html>. Click on the link that reads, "Request a D&B D-U-N-S Number" In the middle of the screen to access the free registration page. **Please note that registration via the web site may take up to fourteen business days to complete.**

- Information needed to obtain a DUNS Number
 - Legal Name
 - Tradestyle, doing business as (dba), or other name in which your entity is commonly recognized
 - Physical Address, City, State and Zip Code
 - Mailing Address (if separate)
 - Telephone Number
 - Contact Name
 - SIC Code (Line of Business)
 - Number of Employees at your location
 - Headquarters name and address (Reporting relationship within your entity)
- **Commercial and Government Entity (CAGE) Code.** Every organization (or Unaffiliated Individual) that submits a proposal to a U.S. agency must register with the Department of Defense Central Contractor Registration (CCR) database for a permanently assigned CAGE number. Information for registering in the CCR and online documents can be found at <http://www.ccr.gov>.
- **Team Members.** A table is provided for listing all supporting Proposal Personnel by the Role they are expected to play in the proposal. Include their Names, Organizations, E-mail Addresses, and Telephone numbers (Note: these individuals must each register him/herself in this NASA data base in order to be listed in this section; the proposing PM may not register someone as a Team Member).
- **Proposed Start/End Dates.** Provide the start and end dates of NEI Pilot *Focus Group(s)*.
- **Summary of Proposal.** Using 200-300 words, provide the following key information:
 - A description of the key, central objectives of the proposal in terms understandable to a non-specialist;
 - A concise statement of the methods/techniques proposed to accomplish the stated objectives; and
 - A statement of the perceived significance of the proposed *Focus Group(s)* to the objectives of the CAN and to NASA interests and programs in general. (Note: NASA intends to publish the proposal's full title, the PI's name and organization, and the Proposal Summary of every selected *Focus Group* in a publicly accessible data base; therefore, the Proposal Summary should not include proprietary information that would preclude its unrestricted release.
- **Organization Type**, using one of the listed categories.
 - **Educational Organization:** A university or two- and four-year college (including U.S. community colleges) accredited to confer degrees beyond that of the K-12 grade levels (all such organizations are considered nonprofit).
 - **Not for Profit, Non-academic Organization:** A private or Government supported research laboratory, university consortium, museum, observatory,

- professional society, educational organization, or similar organizations that directly supports advanced research activities but whose principal charter is not for the training of students for academic degrees.
- **Commercial Organization:** An organization of any size that operates for profit or fee and that has appropriate capabilities, facilities, and interests to conduct the proposed effort
 - **NASA Center:** Any NASA Field Center and the Jet Propulsion Laboratory. Other Federal Agency – Any non-NASA, U.S. Federal Executive agency or Federally Funded Research and Development Center (FFRDC) sponsored by a Federal agency.
 - **Unaffiliated Individual:** Any person residing in the U.S., regardless of being a U.S. citizen or resident alien, who has the capabilities and access to facilities for carrying out the proposed project and who, if selected, agrees to financial arrangements that NASA determines as sufficient to ensure the responsible management of appropriated Federal funds.
 - **Non-U.S. Organizations:** Organizations outside the U.S. that propose on the basis of a policy of no-exchange-of-funds. (Note: some CANs may be issued jointly with a non-U.S. organization, e.g., those concerning guest observing programs for jointly sponsored space science programs that will contain additional special guidelines for non-U.S. participants).
- **International Participation:** a **Yes/No** designation of whether the proposal involves participation by any personnel employed by a non-U.S. organization (Note: if such personnel are involved, signed letters of support from their sponsoring organizations or agencies are required).
 - **U.S. Government Agency Participation (including, if known, the NASA representative named to participate in each NEI *Focus Group(s)* by the proposing organization. If not identified in the proposal, a NASA representative(s) will be named after the NEI Focus Group pilot projects are selected for funding):** a **Yes/No** designation of whether the proposal involves participation by any personnel employed by any agency of the U.S. Government, including any of NASA's Centers and the Jet Propulsion Laboratory. If the answer is "Yes," provide the participant's name, role, Government agency affiliation, and total dollar amount requested (if any) for their participation in the proposal. Note that all costs for this participation must also be shown in the Budget Summary (see below), as well as be supported by appropriate details in the proposal's Budget Details.
 - **Budget Summary:** Fill in the tables as presented, which requires the total amounts for each of the following items for each year of the proposed *Focus Group(s)*, as supported by the Budget Details portion of the proposal. More detailed instructions are listed in Appendix B of this CAN.

Special conditions and instructions concerning the Proposal Cover Page:

- (i) The authorizing organizational signature also serves to verify that the proposing organization has read and is in compliance with the Representations, Certifications and Other Statements contained in Appendix E.
- (ii) Electronic submission of only the Proposal Cover Page does not satisfy the deadline for proposal submission; the required number of copies of the proposal (as specified in the CAN), and one with original signatures, must be received at the indicated address by

close of business (4:30 p.m. Eastern Time) on the proposal due date (**November 12, 2004**).

(iii) Physical changes (such as whiteout or strikethrough) of any kind to the printed version of a Proposal Cover Page that has been electronically submitted are not permitted. Any needed changes may only be made by editing the electronic version following the instructions on its Web site, after which the revised Proposal Cover Page is then printed for purposes of securing the necessary signatures (Note: for this reason, it is recommended that this item be produced from the specified Web site well in advance of the proposal due date).

(iv) Proposal Format and Contents (see Appendix D for page count guidelines)

The proposal shall not exceed **fourteen** pages. The proposal must be submitted on standard 8 ½ X 11 paper, single spaced, with margins no less than one inch on each side and bound with a binder clip or staple. If foldouts are included, they must be folded to page size with each leaf (or portion) counting as a single page. The font size may be no smaller than 12 point. When short textual annotations are included in graphics, figures, tables and exhibits and the physical position of the annotation is important for understanding, a type size of 9-point font is acceptable. It is not acceptable to use 9-point font for long textual passages even though they may appear in exhibits.

Each proposal must contain the following information:

Proposal Cover Page (counts as one page)

See section IV.(c)(iii) above.

Cover Letter (counts as one page)

Please provide a cover letter that introduces your organization and gives an overview of capabilities of the organization. This should be on official organizational letterhead and signed by either the PI or the Authorizing Official.

Table of Contents (counts as one page)

The one-page Table of Contents should provide a guide to the organization and contents of the proposal. This item may also incorporate customized formats of the proposer's own choosing, e.g., identification of the submitting organization through use of letterhead stationary, project logos, etc.

Summary of Proposal Personnel and Work Efforts (counts as one page)

Provide a summary list, using a tabular format of the proposer's own choosing, of the names and intended work commitments (in units of a percentage of a nominal full time Work Year of 1840 hours) of the PI and of every collaborator in the proposed NEI Pilot Focus Group(s) for whom salary support is requested for each year of the proposed period of performance.

Technical / Management Plan (10 pages maximum)

NASA Explorer Institutes proposals must address NEI goals and objectives and NASA-related linkages within the proposal. This section must cover the following topics in the order given, all within the 14-page limit:

- *Merit of the Proposed Activity*
State why the proposed activity has merit, especially as related to the goals and objectives listed in the CAN.
- *Description of NEI Pilot Focus Group(s)*
Describe the goals and objectives of the proposed plan. Also explain the relevance of the proposed work to past, present, and/or future NASA programs and interests.
Discuss the format of your *Focus Group(s)* and the activities that will be used to achieve the expected outcomes. Please include references if applicable.
- *Location and Dates of the Focus Group(s)*
Provide the location(s) and date(s) of the proposed *Focus Group(s)*. Explain the reason for choosing the location(s).
- *Key Personnel*
Provide the name and position of the PI and other personnel key to the success of the *Focus Group(s)*. Include a brief resume or curriculum vitae. In this section, please include signed letters of commitment from any key personnel or their institution acknowledging their commitment to the workshop. Also, indicate who will attend the NEI Planning and Evaluation Meeting March 16-18, 2005.
- *List of Potential Participants/Organizations and Partnerships/Collaborations*
List the potential participants in the *Focus Group(s)* ensuring that these are among the targeted groups listed in Section I.(f). Also discuss any relevant institutional partnerships and collaborations and discuss how this will be beneficial to the project.
- *Method of Recruitment*
Identify the members of the informal education community you are targeting for the proposed *Focus Group(s)* and describe your recruitment plan. The recruitment plan should include an estimated number of participants. Explain how the workshop will be advertised and how participation will be assured.
- *Potential Products*
Describe any potential products that may be planned as post-*Focus Group(s)* activities in collaboration with the participants. Explain their potential significance to the informal education community.
- *Expected Outcomes and Potential for Broad Impact*
Discuss in detail the expected outcomes of the *Focus Group(s)* including the immediate and possible future outcomes and potential for broad impact.
- *Evaluation Plan*

An important part of the success of the project will be the evaluation plan. The plan should include measurable metrics that will ensure that the Division of Informal Education will be able to report on the effectiveness of the *Focus Group(s)*.

- *Estimated Budget and Justification*
Proposals should contain cost and technical parts in one volume: do not use separate "confidential" salary pages. As applicable, include separate cost estimates for salaries and wages; fringe benefits; equipment; expendable materials and supplies; services; domestic and foreign travel; ADP expenses; publication or page charges; consultants; subcontracts; other miscellaneous identifiable direct costs; and indirect costs. List salaries and wages in appropriate organizational categories. Estimate all staffing data in terms of staff-months or fractions of full-time. Also indicate any cost sharing or in-kind contributions that will be made to the *Focus Group(s)* by the proposing institution.

References and Citations

All references and citations given in the *Scientific/Technical/Management Section* must be provided using easily understood, standard abbreviations for journals and complete names for books. It is highly preferred but not required that these references include the full title of the cited paper or report.

Personnel Resumes

The Program Manager must include a curriculum vitae (not to exceed three pages) that includes his/her professional experiences and positions. A one-page vitae for each Co-Investigator must also be included.

Budget Explanation / Plan

Reference Appendix B, Budget Narrative, for the detailed budget explanation/plan format required for submission with your proposal.

(i) Explanatory notes should accompany the cost proposal to provide identification and estimated cost of major capital equipment items to be acquired; purpose and estimated number and lengths of trips planned; basis for indirect cost computation (including date of most recent negotiation and cognizant agency); and clarification of other items in the cost proposal that are not self-evident. List estimated expenses as yearly requirements by major work phases.

(ii) Allowable costs are governed by FAR Part 31 and the NASA FAR Supplement Part 1831 (and OMB Circulars A21 for educational institutions and A-122 for nonprofit organizations).

Current and Pending Support

Information must be provided for all ongoing and pending projects and proposals that involve the proposing PI (see Appendix F). This information is also requested, but not required for any Co-Is who are proposed to perform a significant share (>10 percent) of the proposed work. This information must be provided for each such individual for each of the following two categories of awards that may exist at the time of the proposal submission deadline, namely,

- Current Awards (for any of the period that overlaps with the submitted proposal), and
- Pending Proposals and Awards (including the proposal being submitted to NASA).

For each of these two categories, and using a format of the proposer's own choosing, provide the following information:

- Title of award or project title;
- Program name (if appropriate) and sponsoring agency or organization, including a point of contact with his/her telephone number and E-mail address;
- Performance period and total budget; and
- Commitment by PI (or Co-I) in terms of a fraction of a full time Work Year.

For pending proposals involving substantially the same kind of effort as that being proposed to NASA in this proposal, the proposing PI must notify the NASA Program Officer identified for the CAN immediately of any successful proposals that are awarded anytime after the Proposal Due Date and until the time that NASA's selections are announced.

Facilities and Equipment

This section should describe any facilities (including any owned by the U.S. Government) and/or test or experiment equipment valued over \$5,000 that are critical for carrying out the proposed project, whether it is already available or would need to be purchased. Before requesting an item of capital equipment, the proposer should determine if sharing or loan of equipment already within the organization is a feasible alternative and, if not, why such arrangements cannot be made. The need for general purpose items that typically can be used for research and non-research purposes should be explained. Proposed costs for purchased facilities, tooling, or equipment must be entered in the proposal Budget Summary and described in the Budget Details (reference Appendix B)

Statement(s) of Commitment

Every Principal Investigator, Collaborator, etc. identified as a participant in the proposal's Technical/Management Section must submit a brief, signed statement of commitment that acknowledges his/her intended participation in the proposed

effort. In the case of more than one Co-I or Collaborator, a single statement signed by all participants may be submitted. In any case, each statement must be addressed to the PI, may be a facsimile of an original statement or the copy of an e-mail (the latter must have sufficient information to unambiguously identify the sender), and is required even if the Co-I or Collaborator is from the PI organization. An example of such a statement follows: "I(we) acknowledge that I(we) am(are) identified by name as Co-Investigator(s) [and/or Collaborator(s)] to the investigation, entitled <name of proposal>, that is submitted by <name of Principal Investigator> to the NASA CAN <alpha-numeric identifier>, and that I (we) intend to carry out all responsibilities identified for me(us) in this proposal. I (we) understand that the extent and justification of my (our) participation as stated in this proposal will be considered during peer review in determining in part the merits of this proposal."

(d) Proposal Funding Restrictions

NASA funding may not be used for foreign research efforts at any level, whether as a collaborator or a subcontract. The direct purchase of supplies and/or services, which do not constitute research, from non-U.S. sources by U.S. award recipients is permitted.

V. PROPOSAL REVIEW INFORMATION

(a) Evaluation Criteria

Each NASA Explorer Institutes *Focus Group* Proposal will be evaluated against the following criteria:

Technical Management Plan (This section will be scored from 0-100 points)

- 1) Merit of the Proposed Activity
- 2) Description of NEI pilot project
 - a. Goals
 - b. Objectives
 - c. Format
- 3) Location and dates of the institute
- 4) Key Personnel
- 5) List of Potential Participants/Organizations and Partnerships/Collaborations
- 6) Method of Recruitment
- 7) Potential Products
- 8) Expected outcomes and potential for broad impact
- 9) Evaluation Plan

Cost

- 1) Estimated budget and justification (including any cost sharing, in-kind contributions, etc.)
- 3) Evaluation of the cost of a proposed effort may include the realism and reasonableness of the proposed cost and available funds.

Alignment with NASA's Programs

Funded projects must also demonstrate linkages to the following NASA-related frameworks:

- NASA's Vision for Space Exploration
http://www.nasa.gov/pdf/55583main_vision_space_exploration2.pdf
- NASA's Strategic Plan
http://www.nasa.gov/pdf/1968main_strategi.pdf
- NASA's Education Enterprise Strategy
<http://education.nasa.gov/about/strategy/index.html>
- NASA's Office of Education Operating Principles
<http://education.nasa.gov/about/strategy/index.html> (Table 2.2)
- NASA's Strategic Objectives for Informal Education
<http://education.nasa.gov/divisions/informal/overview/index.html>

Additional linkages may include:

- NASA content that aligns with the customers' area of focus
- Key Agency messages related to NASA's overall mission
- Innovative Mission Directorate programs/projects and technological developments or NASA spin-offs

The Technical Management Plan will carry the most weight in the evaluation of the proposals. *Cost* and *Alignment with NASA's Programs* are of equal weight.

(b) Evaluation and Selection Process

(i) Evaluation Approach

All NEI *Pilot Focus Group(s)* will be competitively selected through a formal review process that will include NASA representatives and members of the informal education community. To achieve overall diversity across the NEI program, the Selecting Official may take the following additional factors into consideration to ensure that the universe of funded projects represents a variety of targeted audiences, geographic locations, and NASA related content. Venues, broad themes, and/or target audiences for future NEI projects may be identified as program priorities by, or in collaboration with, the Informal Education Division staff at NASA Headquarters, Center Education Directors, Mission Directorate Education Leads, and members of the informal education science community.

The primary components of the solicitation proposal review process are as follows:

- a) A multi-member, cross-organizational panel will be appointed to review proposals and make recommendations through a merit process.
- b) Multiple expert evaluators will review proposals.
- c) Selected panelists will be those without a conflict of interest with proposals under review.
- d) The review panel will give merit grading to each reviewed proposal.
- e) Each proposal will receive a total score between 0 and 100 points.
- f) The NASA Explorer Institutes Program Manager may renegotiate proposal requirements and fiscal funding levels as necessary.

(ii) **Proposal Ranking**

The following selection factors will be taken into account. Please note that the position of a selection factor within this list does not indicate relative significance.

1. The evaluations of the Review Panel.
2. The recommendations of the NASA Explorer Institutes Program Manager.
3. The availability of funds.

The peer reviewers will use the following adjectival ratings to rank individual proposals.

<u>ADJECTIVAL RATING</u>	<u>DEFINITIONS</u>
Excellent	A comprehensive and thorough proposal of exceptional merit with one or more significant strengths. No deficiency or significant weakness exists.
Very Good	A proposal having no deficiency and which demonstrates over-all competence. One or more significant strengths have been found, and strengths outbalance any weaknesses that exist.
Good	A proposal having no deficiency and which shows a reasonably sound response. There may be strengths or weaknesses, or both. As a whole, weaknesses not off-set by strengths do not significantly detract from the offeror's response.
Fair	A proposal having no deficiency and which has one or more weaknesses. Weaknesses outbalance any strengths.
Poor	A proposal that has one or more deficiencies or significant weaknesses that demonstrate a lack of overall competence or would require a major proposal revision to correct.

The highest-ranking proposals will be forwarded by the Review Panel for funding consideration to the NEI Program Manager.

The Selection Official for this announcement will be the Director of the Informal Education Division for the Office of the Chief Education Officer.

(c) Selection Announcement and Award Dates

It is anticipated that the NEI Focus Group proposals will be reviewed in late November. Funded projects will be announced in late November or early December.

When a proposal is not selected for award, the offeror will be notified. NASA will provide a general explanation as to why the proposal was not selected.

When a proposal is selected for award, negotiation and award will be handled by a NASA Grants Officer. The proposal evaluation will be used as the basis for negotiation. The agreement officer may request certain business data and may forward an award instrument and other information pertinent to negotiation.

VI. AWARD ADMINISTRATION INFORMATION

Administrative and National Policy Requirements

This solicitation does not invoke any special administrative or National policy requirements, nor do the awards that will be made involve any special terms and conditions that differ from NASA's general terms and conditions as given in the *Handbook*.

VII. POINTS OF CONTACT FOR FURTHER INFORMATION

General questions and comments about the content or policies of this announcement may be directed to:

Debbie Gallaway, Manager
NASA Explorer Institutes Program
202-358-1516
debbie.gallaway@hq.nasa.gov

VIII. ANCILLARY INFORMATION

(a) Proprietary Information

Proposals received in response to this CAN will be used only for evaluation purposes. NASA does not allow a proposal, the contents of which are not available without restriction from another source, or any unique ideas submitted in response to a CAN to be used as the basis of a solicitation or in negotiation with other organizations, nor is a pre-award synopsis published for individual proposals.

A solicited proposal that results in a NASA award becomes part of the record of that transaction and may be available to the public on specific request; however, information or material that NASA and the recipient mutually agree to be of a privileged nature will be held in confidence to the extent permitted by law, including the Freedom of Information Act.

CANs contain programmatic information and certain requirements that apply only to proposals prepared in response to that particular notice. These instructions contain the general proposal preparation information that applies to responses to all CANs.

NASA may accept proposals without discussion; hence, proposals should initially be as complete as possible and be submitted on the offeror's most favorable terms.

(b) Accessibility and Usability Guidelines

NASA shall ensure that employees with disabilities have access to and use of information and data that is comparable to information and data available for other employees or members of public without disabilities. The proposal shall address how electronic and information technology accessibility will be met. For additional information regarding the Architectural and Transportation Barriers Compliance Board (Access Board) policies, the following resources are provided:

Accessibility Guidelines

<http://www.hq.nasa.gov/office/codea/codeao/section508/index.html>

Accessibility Guidelines <http://section508.nasa.gov>

Usability Guidelines <http://www.usability.gov>

(c) Lack of Encumbrance on Dissemination

The project deliverables shall not be encumbered by licensing restrictions unacceptable to the Office of the Chief Education Officer. They shall allow public dissemination of object code, data, imagery and electronic models without payment of royalties, other fees, or "share-back" requirements, including those imposed by use of independently developed free or purchased software, hardware, or data.

All source forms of code, data, electronic imagery and models created or caused to be created (i.e., "contracted" or "out-sourced") by the project shall be unencumbered for public dissemination.

IX. APENDIXES

Appendix A	Instructions for Notice of Intent to Propose
Appendix B	Budget Narrative
Appendix C	Sample Proposal Cover Page
Appendix D	Proposal Check List
Appendix E	Certifications, Representations, and Other Offeror Statements
Appendix F	Principle Investigator Eligibility Certification Form

Appendix A

Instructions for Notice of Intent to Propose

PROPOSAL SUBMISSION PROCESS

Notice of Intent

A Notice of Intent (NOI) to submit a proposal in response to this NASA Cooperative Agreement Notice is strongly suggested. NOI's are to be submitted electronically by entering the requested information through the SYS-EYFUS Web site located at: <http://proposals.hq.nasa.gov/proposal.cfm> .

User Identifications (User ID)

- User ID and passwords are required by NASA security policies in order to access the SYS-EYFUS Web site. Prospective PM's can check if they have a SYS-EYFUS User ID and Password by going to <http://proposals.hq.nasa.gov/proposal.cfm> and performing the following steps:
- Click the hyperlink for NEW USER; this will take the user to the personal information Search Page.
- Enter the user's first and last name. SYS-EYFUS will search for matching record information in the SYS-EYFUS database.
 - If matches are found, select the "correct" record from those displayed and then click on CONTINUE.
 - If no exact match is found, select NONE OF THE ABOVE click on CONTINUE. Then complete the NEW USER form. Follow the on-line instructions for updating and/or entering new data. In addition, to adding general contact information, areas of interest and expertise are required.
 - If no match is found, select ADD RECORD. Follow the on-line instructions for updating and/or entering new data. In addition, to adding general contact information, areas of interest and expertise are required.

A User ID and password will be emailed to you.

With the user ID and password, login to the SYS-EYFUS web site and follow the instructions for NEW NOTICE OF INTENT.

As a minimum, the following information will be requested:

- CAN number, alpha-numeric identifier, (Note: this may be included on the Web site template);
- The PI's name, mailing address, phone number, and email address;
- The name(s) of any Collaborators(s) and institution(s) known by the NOI due date;
- The relevant NASA Enterprise(s);
- A descriptive title of the intended *Focus Group(s)*; and,
- A brief (200-300 word) description of the *Focus Group(s)* to be proposed.

Appendix B

Budget Narrative

The following budget submission shall be provided with offers:

	Type	Total
1	DIRECT LABOR	
2(i)	Other Direct Costs - Subcontracts	
2(ii)	– Consultants	
2(iii)	– Equipment	
2(iv)	– Supplies	
2(v)	– Travel	
2(vi)	– Other	
3	Indirect Costs	
4	Other Applicable Costs	
5	Subtotal - Estimated Full Costs:	
6	Less: Proposed Cost Sharing	
7	Total NEI Budget Request	

- Direct Labor (salaries, wages, and fringe benefits): Attachments should list number and titles of personnel, amount of time to be devoted to the project, and hourly salary rates.
- Other Direct Costs:
 - Subcontracts: Attachments should describe the work to be subcontracted, estimated amount, recipient (if known), and the reason for subcontracting. Additionally, describe the terms and conditions of the subcontract, how the price/cost was determined fair and reasonable, and details of competition resulting in the subcontract. Include copies of quotations and/or commercial price lists as applicable.
 - Consultants: Identify consultants to be used (name, address, phone), why they are necessary, the time they will spend on the project, and rates of pay. Describe the terms and conditions of the consultant relationship with the offeror, how the price/cost of consultant services was determined fair and reasonable, and any details of competition resulting in the consultant selection.
 - Equipment: Explain the need for items costing more than \$5,000. Describe the equipment and basis for estimated cost.
 - Supplies: Provide general categories of needed supplies, the method of acquisition, estimated cost. Additionally, provide the details of the competition performed for the purchase of the needed supplies.
 - Travel: Describe the purpose of any proposed travel and provide the basis of estimate, including information on destination, number of travelers (where known), per diem rate, and all other estimated costs associated with proposed travel including attendance at the February 2005 NEI Planning and Evaluation Meeting.
 - Other: Enter the total of direct costs not covered by 2(i) through 2(v). Attach an itemized list explaining the need for each item and the basis for the estimate. Enter the student stipends (number of students x amount of stipend for each).
- Indirect Costs: Identify indirect cost rate(s) and base(s) as approved by the cognizant Federal agency, including the effective period of the rate. Provide the name, address, telephone number and email address, if known, of the Federal agency and official having cognizance. If unapproved rates are used, explain why, and include the computational basis for the indirect expense pool and corresponding allocation base for each rate. If rates are based upon a forward pricing rate agreement, provide a copy of the agreement with the budget proposal.

4. Other Applicable Costs: Enter total of other applicable costs with an itemized list explaining the need for each item and basis for the estimate.
5. Subtotal-Estimated Costs: Enter the sum of items 1 through 4.
6. Less Proposed Cost Sharing (if any): Enter any amount proposed. If cost sharing is based on specific cost items, identify each item and amount in an attachment. Include any in-kind contributions in this section. Please indicate funding source.
7. Total NEI Budget Request: Enter the total after subtracting item 6 and 7 from item 5.

Special Budget Considerations:

In complying with the requirements of the Budget Summary and for providing adequate additional information to understand its entries, the following additional important NASA procurement policies apply:

i) Purchase of Personal Computers and/or Software. Note the discussion of item "2.c. Equipment" on the Instructions above regarding the proposed purchase of personal computers and/or commercial software. Such items are usually considered by NASA to be general purpose equipment that must be purchased from general organizational overhead budgets and not directly from the proposal budget unless it can be demonstrated that such items are to be used uniquely and only for the proposed research. If a proposal is selected for award, failure to adequately address the provisions of the instructions for item 2.c will require that NASA contact the proposing organization for the required information. Such activity may delay the award until the purchase is justified as a direct charge for general purpose equipment to be used exclusively for research activities.

(ii) Joint Proposals Involving a Mix of U.S. Government and Non-Government Organizations.

- (a) If a PI from any type of private or public organization proposes to team with a Co-I from and/or use a facility at a U.S. Government organization (including NASA Centers and the Jet Propulsion Laboratory), then any required budget for that Government Co-I and/or facility should be included in the proposal's Budget Details and should be listed as "Other Applicable Costs" in the required Budget Summary. If the proposal is selected, NASA will execute an inter- or intra-Agency transfer of funds, as appropriate, to cover the applicable costs at that Government organization.
- (b) If a PM from a U.S. Government organization (including NASA Centers and the Jet Propulsion Laboratory) proposes to team with a Co-I from a non- Government organization, then the proposing Government organization must cover those Co-I costs through an appropriate award for which that Government PM organization is responsible. Such non-Government Co-I costs should be entered as a "Subcontract" on the Budget Summary.

(iii) Other than the special cases discussed in item (ii) above, and unless specifically noted otherwise in the CAN, the proposing PM's organization must subcontract the funding of all proposed collaborators who reside at other non-Government organizations, even though this may result in a higher proposal cost because of subcontracting fees.

(iv) Full-Cost Accounting at NASA Centers. NASA is now operating using full cost budgeting, accounting, and management practices. As such, all proposals should be submitted with fully loaded costs including procurement, civil service labor, travel, service pools, center G&A, and corporate G&A. NASA researchers answering CANs should comply with the full cost policies. Non-NASA researchers answering CANs should work with the NASA sponsoring organization to ensure all direct and institutional (NASA facilities and civil service labor) are adequately accounted for. The web address for NASA's Full Cost Initiative is: <http://www.hq.nasa.gov/fullcost>.

(v) Unallowable Costs. The Office of Management and Budget (OMB) Circulars A-21 and A-122, and the Federal Acquisition Regulation (FAR) at 48 CFR Part 31, identify certain costs that may not be included in a proposed budget. The use of appropriated funds for such purposes are unallowable and may lead to cancellation of the award and possible criminal charges. Grant recipients should be aware of cost principles applicable to their organization as set forth in the above regulations.



APPENDIX C

SAMPLE PROPOSAL COVER PAGE

(Date : mmm dd, yyyy)

XXX-XXXX-XXXX

Name of Submitting Institution:

Congressional District:

Certification of Compliance with Applicable Executive Orders and U.S. Code

By submitting the proposal identified in this Cover Sheet/Proposal Summary in response to this Cooperative Agreement Notice, the Authorizing Official of the proposing institution (or the individual proposer if there is no proposing institution) as identified below:

- certifies that the statements made in this proposal are true and complete to the best of his/her knowledge;
- agrees to accept the obligations to comply with NASA award terms and conditions if an award is made as a result of this proposal; and
- confirms compliance with all provisions, rules, and stipulations set forth in the two Certifications contained in this CAN [namely, (i) Assurance of Compliance with the NASA Regulations Pursuant to Nondiscrimination in Federally Assisted Programs, and (ii) Certifications, Disclosures, And Assurances Regarding Lobbying and Debarment & Suspension]. Willful provision of false information in this proposal and/or its supporting documents, or in reports required under an ensuing award, is a criminal offense (U.S. Code, Title 18, Section 1001).

NASA PROCEDURE FOR HANDLING PROPOSALS

This proposal shall be used and disclosed for evaluation purposes only, and a copy of this Government notice shall be applied to any reproduction or abstract thereof. Any authorized restrictive notices that the submitter places on this proposal shall also be strictly complied with. Disclosure of this proposal for any reason outside the Government evaluation purposes shall be made only to the extent authorized by the Government.

[1] ... PI Information

Name:		Email:	
Organization:			
City, State, Zip:		Country:	

PI Signature and Date:

Authorizing Official:		Email:	
Title:		Phone:	
Institution:			
Address:			

AO Signature and Date:

[2] ... Collaborator

Name:		Email:	
Organization:			
City, State, Zip:		Country:	

2] ... Collaborator

Name:		Email:	
Organization:			
City, State, Zip:		Country:	

[3] ... Proposal Title (Short and/or Full)

Short Title:	
Full Title:	

[4] ... Summary

200-300 word abstract

[5] Cage Code, Duns, TIN

Cage Code:	
DUNS Number	
TIN Number:	

[6] Proposed Start Date: _____
Proposed End Date: _____

[7] Organization Type: _____

[8] International Participants (Yes/No)

[9] Government Participant (Yes/No)

[10] ... Budget

	Type	Total
1	DIRECT LABOR	
2(i)	Other Direct Costs - Subcontracts	
2(ii)	- Consultants	
2(iii)	- Equipment	
2(iv)	- Supplies	
2(v)	- Travel	
2(vi)	- Other	
3	Indirect Costs	
4	Other Applicable Costs	
5	Subtotal - Estimated Full Costs:	
6	Less: Proposed Cost Sharing	
7	Total NEI Budget Request	



APPENDIX D

PROPOSAL CHECK LIST

The following table is a general guide highlighting the information to be included in the proposal.

Proposal Content	Page Guideline	Section and Appendix References
<p>1. PROPOSAL COVER PAGE</p> <ul style="list-style-type: none"> ▪ PI Contact Information and Signature: The Program Manager or PI must sign the original. Please include the contact information for the PI. ▪ Authorizing Official Contact Information and Signature: The proposal cover sheet shall be signed by an institutional official who is authorized to certify institutional support and sponsorship of the investigation and of the management of the proposal. (The electronic proposal submission process located at http://proposals.hq.nasa.gov/proposal.cfm/ generates this form). ▪ Team Members and other Key Personnel: Please include any collaborating partners or other key personnel on the cover sheet. Signatures are not necessary. Individuals must each register him/herself in this NASA database in order to be listed in this section; the proposing PI may not register someone as a Team Member). ▪ Proposal Abstract (200-300 words). Include a description of the project's objectives, number of participants in the project, method of approach, and the measurable outcomes. A sample electronic Proposal Abstract page is included in Appendix C. ▪ Full and Short Titles: Please enter a long and short title. This will help during proposal peer reviews. ▪ Proposed Cost: The cover page should include a budget breakdown for the entire period of the proposal. See Budget Guidelines in Appendix B. ▪ TIN, DUNS, and CAGE Numbers ▪ Other Information will be requested. Please fill out all information as leaving sections blank will be an indication of non-compliance with the solicitation. <p>The length of the electronic proposal cover page (as generated via SYS-EYFUS) may vary depending upon the length of the proposal abstract/summary. <u>However, the total cover-page packet, including the summary and budget figures, will count as only 1 page total.</u> A sample cover page packet is included in Appendix C.</p> <p>To print the Proposal Cover Page, select "View" and then use the "Print" Button on your Internet browser menu. Make sure your printed</p>	<p>Counts as 1 page, regardless of length</p>	

Proposal Content	Page Guideline	Section and Appendix References
copy includes the Abstract and the breakdown of Budget Categories. Submit this Proposal Cover Page with your proposal hard copy.		
2. Cover Letter	1	
3. Table of Contents	1	
4. Summary of Proposal Personnel and Work Effort:	1	
5. Technical / Management Plan	10	
6. Full Personnel Resumes	Not counted	
7. Certification of Principal Investigator Eligibility Form (Required)	Not counted	
8. Certifications Regarding Lobbying, Debarment, Suspension and Other Responsibility Matters and Drug-Free Workplace Requirements Form. (This form <u>does not have to be submitted</u> with the proposal. The authorizing institutional signature on the Proposal Cover Page certifies that the proposing institution has read and is in compliance with these certifications).	Not counted	Appendix E
9. Principal Investigator Eligibility Certification Form	Not counted	Appendix F

APPENDIX E

REPRESENTATIONS, CERTIFICATIONS, AND OTHER STATEMENTS OF OFFERORS

1. ASSURANCE OF COMPLIANCE WITH THE NASA REGULATIONS PURSUANT TO NONDISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS

The (*Institution, corporation, firm, or other organization on whose behalf this assurance is signed, hereinafter called "Applicant "*) hereby agrees that it will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352), Title IX of the Education Amendments of 1972 (20 U.S.C. 1680 et seq.), Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), and the Age Discrimination Act of 1975 (42 U.S.C. 16101 et seq.), and all requirements imposed by or pursuant to the Regulation of the National Aeronautics and Space Administration (14 CFR Part 1250) (hereinafter called "NASA") issued pursuant to these laws, to the end that in accordance with these laws and regulations, no person in the United States shall, on the basis of race, color, national origin, sex, handicapped condition, or age be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the Applicant receives federal financial assistance from NASA; and hereby give assurance that it will immediately take any measure necessary to effectuate this agreement.

If any real property or structure thereon is provided or improved with the aid of federal financial assistance extended to the Applicant by NASA, this assurance shall obligate the Applicant, or in the case of any transfer of such property, any transferee, for the period during which the real property or structure is used for a purpose for which the federal financial assistance is extended or for another purpose involving the provision of similar services or benefits. If any personal property is so provided, this assurance shall obligate the Applicant for the period during which it retains ownership or possession of the property. In all other cases, this assurance shall obligate the Applicant for the period during which the federal financial assistance is extended to it by NASA.

This assurance is given in consideration of and for the purpose of obtaining any and all federal grants, loans, contracts, property, discounts, or other federal financial assistance extended after the date hereof to the Applicant by NASA, including installment payments after such date on account of applications for federal financial assistance which were approved before such date. The Applicant recognizes and agrees that such federal financial assistance will be extended in reliance on the representations and agreements made in this assurance, and that the United States shall have the right to seek judicial enforcement of this assurance. This assurance is binding on the Applicant, its successors, transferees, and assignees, and the person or persons whose signatures appear on the Proposal Cover Sheet above are authorized to sign on behalf of the Applicant.

2. CERTIFICATIONS, DISCLOSURES, AND ASSURANCES REGARDING LOBBYING AND DEBARMENT & SUSPENSION

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 14 CFR Part 1271, as defined at 14 CFR Subparts 1271.110 and 1260.117, with each submission that initiates agency consideration of such applicant for award of a Federal contract, grant, or cooperative agreement exceeding \$ 100,000, the applicant must **certify** that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit a Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

3. GOVERNMENTWIDE DEBARMENT AND SUSPENSION

As required by Executive Order 12549, and implemented at 14 CFR 1260.510, for prospective participants in primary covered transactions, as defined at 14 CFR Subparts 1265.510 and 1260.117—

(1) The prospective primary participant **certifies** to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Appendix F

Principal Investigator Eligibility Certification

COMPLETION OF THIS FORM IS REQUIRED

1. Last Name First Name MI

2. Verification of Employment:

Employed by (institution):

School/Department (specify):

Check type of position

☐ Tenured ☐ Tenured-track ☐ Full Time Contractual

II. Previous NASA Funding

List all NASA awards, NASA contracts, NASA consulting from which the proposed PI received funding as PI during the past 5 years, including active awards.

Column A	Column B	Column C	Column D	Column E
Award	PI or Col.	Title of Award	Period (from - to)	Amount
			/ / to / /	
			/ / to / /	
			/ / to / /	
			/ / to / /	
			/ / to / /	
			/ / to / /	
			/ / to / /	
			/ / to / /	
			TOTAL FUNDING:	

Instructions:

Column A: Identify whether award was a research grant (R), education grant (E), contract (C), or consulting agreement (A).

Column B: For each award indicate whether applicant was a PI or CO-I.

Column C: List title of award.

Column D: List the period of performance.

Column E: List amount of award. For awards on which the proposed PI was a CO-I, show only that portion of the award, which supported the proposed PI's personal research, and attach an explanation of how this was determined. For awards on which the proposed PI was the PI, show the total award amount.

Certification Authority

The person authorized to sign below certifies that the information provided is accurate.

Authorized Institutional Official (typed): _____

Title: _____

Signature: _____